

STATE OF INDIANA)
) SS:
COUNTY OF MARION)

BEFORE THE INDIANA
COMMISSIONER OF INSURANCE

Cause Number: 15168-AD16-0627-134

IN THE MATTER OF)

Benjamin Brown)
57439 Country Rd 19)
Goshen, IN 46528)

Respondent)

Type of Agency Action: Enforcement)

Resident Producer License #: 410818)

FILED

JAN 20 2017

STATE OF INDIANA
DEPT. OF INSURANCE

FINAL ORDER

The Enforcement Division of the Indiana Department of Insurance ("Department"), by counsel, Claire Szpara, and Benjamin Brown ("Respondent"), a licensed resident insurance producer, signed an Agreed Entry which purports to resolve all issues involved in the above-captioned cause number, and which has been submitted to the Commissioner of the Indiana Department of Insurance ("Commissioner") for approval.

The Commissioner, after reviewing the Agreed Entry, finds it has been entered into fairly and without fraud, duress or undue influence, and is fair and equitable between the parties. The Commissioner hereby incorporates the Agreed Entry, attached, as if fully set forth herein, and approves and adopts in full the Agreed Entry as a resolution of this matter.

IT IS THEREFORE ORDERED by the Commissioner as follows:

1. Respondent shall pay a civil penalty of two hundred and fifty dollars (\$250), for failing to report a January 24, 2016 action taken by FINRA within thirty (30) days.
2. The Department agrees to accept this agreement as full resolution of this matter.

ALL OF WHICH IS ORDERED this 20 day of January 2017.

A handwritten signature in black ink, appearing to read "Stephen W. Robertson", is written over a horizontal line.

Stephen W. Robertson,
Commissioner
Indiana Department of Insurance

Distribution:

Melissa Higgins, Investigator
INDIANA DEPARTMENT OF INSURANCE
311 West Washington Street, Suite 103
Indianapolis, Indiana 46204-2787

Benjamin Brown
57439 Country Rd 19
Goshen, IN 46528

STATE OF INDIANA)
) SS:
COUNTY OF MARION)

BEFORE THE INDIANA
COMMISSIONER OF INSURANCE

Cause Number: 15168-AD16-0627-134

IN THE MATTER OF:)

Benjamin Brown)
57439 Country Rd 19)
Goshen, IN 46528)

Respondent)

Type of Agency Action: Enforcement)

License Number: 410818)

FILED

JAN 20 2017

STATE OF INDIANA
DEPT. OF INSURANCE

AGREED ENTRY

This Agreed Entry is executed by and between the Enforcement Division of the Indiana Department of Insurance ("Department"), by counsel, Claire Szpara, and Benjamin Brown ("Respondent") to resolve all issues in the above-captioned cause number. This Agreed Entry is subject to the review and approval of Stephen W. Robertson, Commissioner of the Indiana Department of Insurance ("Commissioner").

WHEREAS, on September 28, 2001, Respondent obtained an Indiana resident producer's license under number 410818;

WHEREAS, Respondent failed to disclose an administrative action taken by the Financial Industry Regulatory Authority ("FINRA") from January 24, 2016 within thirty (30) days;

WHEREAS, Indiana Code §27-1-15.6-17(a) states the producers shall report to the Commissioner any administrative action taken against the producer in another jurisdiction or by another

governmental agency in Indiana not more than thirty (30) days after the final disposition of the matter.

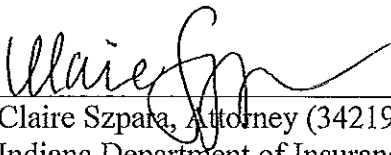
The report shall include a copy of the order, consent order, or other relevant legal documentations;

WHEREAS, the Department and Respondent (collectively, the "Parties") desire to resolve this matter without the necessity of a hearing.

IT IS, THEREFORE, NOW AGREED by and between the parties as follows:

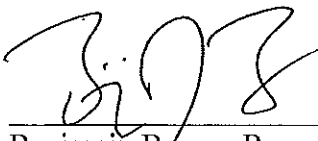
1. The Commissioner has jurisdiction over the subject matter and the Parties to this Agreed Entry.
2. This Agreed Entry is executed voluntarily by the Parties.
3. Respondent voluntarily and freely waives the right to a public hearing on the issues in this matter.
4. Respondent voluntarily and freely waives the right to judicial review of this matter.
5. Respondent shall pay an administrative fine in the amount of two hundred fifty dollars (\$250) within thirty (30) days after the Commissioner signs the Final Order adopting this Agreed Entry.
6. Should this Agreed Entry not be accepted by the Commissioner, it is agreed that presentation to, and consideration of this Agreed Entry by the Commissioner, shall not unfairly or illegally prejudice the Commissioner from further participation in or resolution of these proceedings.
8. Respondent is aware that failure to comply with any of the terms of this agreement will result in the matter being set for a hearing.

1-13-17
Date Signed



Claire Szpara, Attorney (34219-64)
Indiana Department of Insurance

01-10-17
Date Signed



Benjamin Brown, Respondent

STATE OF INDIANA

)

COUNTY OF _____) SS:
_____)

Before me a Notary Public for LAGRANGE County, State of Indiana, personally appeared Benjamin Brown and being first duly sworn by me upon his oath, says that the facts alleged in the foregoing instrument are true.

Signed and sealed this 10th day of JANUARY, 2017.

Christina Lehman
Signature

CHRISTINA LEHMAN
Printed

My Commission expires: 1-10-2025⁹⁰²

County of Residence: LAGRANGE